

Edale Parish Council Risk Assessment

Approved 13th January 2016

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In producing this assessment the following procedure was used:-

- Identify the areas to be reviewed
- Identify what the risks may be
- Evaluate the management and control of the risks and record the findings
- Review, assess and revise the assessment as required.

Edale Parish Council Risk Assessment				
Subject	Risk(s) Identified	Rating	Control Measures	Status
Business continuity	Parish Council not being able to function in the event of an unexpected disaster	L	Business continuity procedures in place. Parish council to operate from still active Councillor's property with minimum quorum – temporary Councillors to be co-opted as necessary	Existing procedures adequate To be reviewed annually
Precept	a)Precept inadequate b)Precept not applied for c)Precept not received	L	a)Precept determined by producing regular budget control statements and amount requested is based on actual spend and estimated expenditure for the ensuing year b)Clerk to submit request to High Peak Council c)Clerk to inform Parish Council when monies received	Precept reviewed annually Existing procedures adequate
Financial records	a)Inadequate records b)Financial irregularities	L	The Parish Council has controls and procedures in place to ensure that requirements are met	Existing procedures adequate
Banking	a)Inadequate checks b)Bank errors c)Loss of cheques/cash d)Unnecessary charges	L	The Parish Council has controls and procedures in place which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate
Cash	Loss through theft or dishonesty	L	The Parish Council has controls and procedures in place to ensure that requirements are met	Existing procedures adequate

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Subject	Risk(s) Identified	Rating	Control Measures	Status
Reporting and auditing	a)Lack of information and communication b)Compliance	L	a)A financial statement is produced at every Parish Council meeting as an agenda item and is approved at the meeting b)internal audits are carried out regularly	Existing procedures adequate
Costs and expenses Debts	a)Incorrect invoicing b)Cheques incorrect c)Debts outstanding	L	a) &b) All payments to be approved by Councillors at a meeting and all invoices to be checked. Two authorised signatories are required to sign cheques c) Payments due to the Council are pursued and, where possible, payment is obtained in advance	Existing procedures adequate
Work commissioned by Parish Council	a)Insufficient quotations obtained b)Work commissioned incorrectly c)Work goes over budget	a)L b)L c)M	a) Normal practice should require the Parish Council to obtain more than one quotation for necessary work. Parish Councillor responsible for project to check the quotations and research any problems and report to Parish Council b)&c) Parish Councillor to manage project effectively	Existing procedures adequate
Remuneration and other costs	a)Remunerations calculated and paid incorrectly b)Tax and N I implications	L	TheParish Council has one regular employee, the Parish Clerk, although other people may be employed on an ad hoc basis. The Parish Clerk's remuneration is reviewed annually and is based on industry remuneration scales. The Clerk's monthly fee is approved at each Council meeting. b)Tax and N I matters are dealt with by the Clerk	Existing procedures adequate
Councillors and employees	a)Loss of key Councillors and contractors b)Fraud by Councillors and contractors c)Actions undertaken by Councillors and contractors	L	a)This is covered by the Business Continuity procedures b)Insurance requirements to be adhered to c)Adequate training to be arranged for Clerk and for Councillors to be provided with the necessary information for them to carry out their duties effectively	a) Existing procedures adequate b) Existing procedures adequate c)Ongoing
Election costs	Risk of an election cost	M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the District Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled	Existing procedures adequate

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VAT	Failure to maintain proper records and to reclaim VAT where appropriate	L	<p>The Parish Council has controls and procedures in place to ensure that VAT is reclaimed as appropriate.</p> <p>The Parish Clerk reviews the position and makes a claim where necessary</p>	Existing procedures adequate
Annual Accounts	Failure to submit within time limits	L	The Annual Accounts are prepared by the Clerk and are completed and signed by the Council and submitted to the internal auditor for completion and signing and then checked and sent on to the External Auditor within the time limit	Existing procedures adequate
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Parish Council Meetings, including a reference to the power used	Existing procedures adequate
Minutes/Agendas/Notices Statutory documents	<p>a) Accuracy and legality</p> <p>b) Business conduct</p>	L	<p>a) Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting.</p> <p>Minutes and agenda are displayed according to the legal requirements.</p> <p>b) Business conducted at Council meetings should be managed by the Chair</p> <p>c) Notifications of meetings to discuss planning applications are displayed within the required timescales.</p> <p>d) Responses to planning applications are given within the required timescales.</p> <p>e) copies of planning applications are made available for public inspection within the required timescales.</p>	Existing procedures adequate. Councillors to adhere to Code of Conduct

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Members interests	a)Conflict of interest b)Register of Members interests	L M	a)Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda b)Register of Members Interest forms should be reviewed regularly by Councillors	Existing procedures adequate Councillors take responsibility to update their forms
Insurance	a)inadequate cover b)Competitive costs	L	A review if insurance cover and premiums is carried out annually prior to renewal	Existing procedures adequate
Data Protection	Policy and provision	L	The Council is registered with the Data Protection Agency	Registration to be renewed annually
Freedom of information Act	Policy and provision	L/M	The Council has a model publication scheme for local councils in place. The Council has not received any requests for information to date. The Council is able to request a fee if the work required to provide information would take more than 15 hours. The Clerk will monitor and report the impact of any requests made.	Existing procedures adequate
Assets	a)Loss or damage b)Risk/damage to third parties or their properties	L	An annual review of assets is carried out in order to update insurance cover and to ensure that storage and maintenance of physical assets is maintained	Existing procedures adequate
Maintenance of property for which the Parish Council is responsible	a)Poor performance of property or amenities b)Potential loss of income c)Risk to third parties	L	All assets or property for which the Parish Council is responsible are regularly reviewed and maintained All repairs and relevant expenditure for these repairs are actioned/ authorised in accordance with the correct procedures of the Parish Council. All assets/property are insured and reviewed annually All public amenity land is inspected regularly by the Parish Council or their advisers	Existing procedures adequate

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Notice boards	a) Risk/damage/injury to third parties	L	Parish Council has three notice boards sited around the village. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys are held by the Parish Clerk and several Councillors	Existing procedures adequate
Street furniture, signs, etc.	Risk/damage/injury to third parties	L		Existing procedures adequate
Meeting location	Inadequacy Health & Safety	M M	The Parish Council meets monthly in the Village Hall. The premises are considered adequate from a Health and Safety and comfort aspect	Existing location is adequate
Council records - paper	Loss through: Theft, fire, damage	L M L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondence, minute books and copies, legal documents, records such as contractors, insurance, payments, etc.	Loss through theft or damage is unlikely. Any legal documents held should be copied and held at a separate location
Council records - electronic	Loss through: theft, fire, damage corruption of computer	L/M	The Parish Council's electronics records are stored on the Clerks computer. Back ups of the files are taken at regular intervals and kept off site	Existing procedures are adequate
Website	Webmaster not being able to function Loss of passwords	L	Webmaster is able to maintain website. Copy of all passwords used by the website to be kept by Clerk and Chairman	Existing procedures adequate Consideration should be given to Councillor being trained to maintain website